

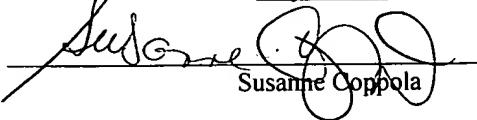


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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to:  
"Commissioner for Patents, Washington, D.C. 20231"  
on May 9, 2001.

  
Susanne Coppola

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT : Lalit Narayan and Dechu P. Muthana

SERIAL NO. : 09/766,714

DATE FILED : January 22, 2001

FOR : Securities Trading System and Related Method Using Security Pools

Commissioner for Patents  
Washington, D.C. 20231

Box: Missing Parts

**TRANSMITTAL OF LATE DECLARATION**

SIR :

In response to the Notice to File Missing Parts of Non-Provisional Application dated April 27, 2001 in the above-identified application, enclosed herewith is a Declaration duly signed by both inventors, Lalit Narayan and Dechu P. Muthana.

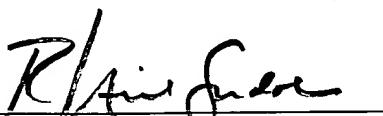
A copy of the Notice is enclosed for reference purposes. A two month deadline for replying to the enclosed Notice expires June 27, 2001. Applicants hereby submit a check in the amount of Sixty-Five Dollars (\$65.00) in payment of the late filing charge in accordance with the fees for small entity status.

An Assignment to BondGlobe Inc. was filed previously, the assignment particulars have not yet been received. The Assignee company qualifies for small entity status. A copy of the Assignment is enclosed for reference purposes.

Kindly charge any additional fees or credit any over-remittance to Deposit Account No. 04-0838. A duplicate of this transmittal sheet is enclosed for deposit account purposes.

Respectfully submitted,  
COLEMAN SUDOL SAPONE, P.C.

By:

  
R. Neil Sudol, Reg. No. 31,669

708 Third Avenue, 14th Floor  
New York, New York 10017  
(212) 679-0090  
Dated: May 9, 2001



JF

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/766,714	01/22/2001	Lalit Narayan	B41-004

## CONFIRMATION NO. 2043

## FORMALITIES LETTER



\*OC00000006014035\*

R. Neil Sudol  
COLEMAN SUDOL SAPONE, P.C.  
PATENT, TRADEMARK AND COPYRIGHT MATTERS  
708 THIRD AVENUE, 14TH FLOOR  
NEW YORK, NY 10017

Date Mailed: 04/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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65.00 DP

*A copy of this notice **MUST** be returned with the reply.*

*act*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Lalit Narayan and Dechu P. Muthana

Serial No. : To be assigned

Filed : Herewith

For : Securities Trading System and Related Method Using Security Pools

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Commissioner for Patents  
Washington, DC 20231

**TRANSMITTAL OF APPLICATION UNDER 37 CFR § 1.41**

SIR:

The undersigned attorney for applicants hereby make application for Letters Patent on behalf of Applicants Lalit Narayan and Dechu P. Muthana, both citizens of India. Applicants respectively reside at:

**7 Whitney Place, Princeton Junction, New Jersey 08550**

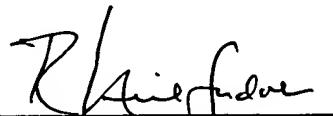
and

**50 Battery Place, Apt. 7Z, New York, New York 10280**

Please direct all communication regarding this patent application to R. Neil Sudol, Coleman Sudol Sapone, P.C., 708 Third Avenue, 14th Floor, New York, New York 10017.

Respectfully submitted,  
COLEMAN SUDOL SAPONE, P.C.

By:



R. Neil Sudol  
Reg. No. 31,669

708 Third Avenue, 14th Floor  
New York, New York 10017  
(212) 679-0090

Dated: January 22, 2001